

USAID/Office of Democracy and Governance
ANNUAL REPORT FY 2003

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Please Note:

The attached RESULTS INFORMATION is from the FY 2003 Annual Report and was assembled and analyzed by the country or USAID operating unit identified on the cover page.

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A. Program Level Narrative

Program Performance Summary:

The DG Office assists USAID Missions, other parts of the Agency, and the USG to develop country programs to assist political transitions to democracy and its consolidation. To help make strategic decisions on how and when to invest for greatest impact, the DG Office uses a strategic assessment framework it has designed to analyze country political conditions and craft program interventions aimed at overcoming the greatest constraints to democracy. The assessment framework has been heralded both inside and outside the Agency by academics and practitioners as one of the best and most practical applications of development assistance theory in the field of democracy. Most recently, USAID was asked to present the framework to the Development Assistance Committee of the OECD.

Using this framework, DG Office staff and partners conducted comprehensive DG assessments and helped to develop strategies for a number of countries in all four regions. Assessments this year were conducted in Afghanistan, Armenia, Burundi, Georgia, Guyana, Honduras, India, Mozambique, Nigeria, Rwanda, and Zambia. These assessments reviewed conditions, opportunities, and constraints for democratic development. In each case, the strategic recommendations have helped inform the missions' strategic thinking as they designed their DG portfolios. In addition, DG Office staff worked closely with missions on DG program designs for Afghanistan, Liberia, Mongolia, and West Bank/Gaza. The DG Office will continue to conduct DG assessments, with assistance planned for USAID Missions in Bangladesh, Morocco, Namibia, Nicaragua, Pakistan, and Tanzania.

In 2002, the DG Office strengthened the Agency's conflict prevention and post-conflict capacities on multiple fronts. The DG Office made this a primary theme of its annual DG partners conference, concentrating on issues of failed and failing states. The office also used DCHA's conflict assessment framework to conduct conflict analyses in Eritrea, Georgia, Guatemala, Indonesia, Madagascar, and South Africa, and participated in a combined conflict-democracy assessment in Burundi. In April, the DG Office passed its role of supporting conflict assessments to the newly created DCHA/CMM. To provide guidance on mitigating conflict around elections, the DG Office developed an elections and conflict prevention toolkit. The office continues to work closely with regional bureaus and other offices in this area, with particular attention to collaboration with sister DCHA offices, CMM and OTI.

The DG Office is undertaking the most ambitious research program in its history: to document the impact and effectiveness of democracy assistance programs. Through its research agenda, the DG Office is positioning itself to learn--empirically and systematically--under what circumstances and in which contexts democracy assistance is most effective. To date, the research agenda includes two major evaluation approaches. One is a series of country case studies designed to examine the long-term impact of democracy promotion efforts in particular country situations. In the first year, the studies focused on countries with good democracy progress. This year, the office completed a second set of country case studies--in Croatia, Ghana, and Guatemala--focusing on countries with stronger executives and more difficult country situations. These studies are providing detailed, rich data on the complex interplay between country context and specific democracy interventions, leading to a better understanding of how to maximize the impact of our programs. The synthesis report for the second-year studies is nearing completion, and an additional synthesis report--drawing on the first and second year studies--is anticipated.

The second approach is through analysis of the impact of sub-sectoral programming. During 2002, outside experts and DG Office technical staff reached a consensus on the basic parameters that will guide research on the impact of USAID-supported programs in four areas: civil society, political parties, legislative strengthening, and decentralization. Finalization of the research designs and methods for these four sub-sector studies is slated for early 2003, to be followed by field studies and analysis. Analyses for other sub-sectors of democracy programming will follow in subsequent years.

The DG Office continues to provide technical leadership in the area of managing for results. The "Handbook of Democracy and Governance Program Indicators" has become an essential tool for USAID

Missions. The DG Office is also completing on a handbook on qualitative approaches to assessing impact in order to provide missions with guidance on the use, construction, and application of qualitative indicators. This latest effort has been launched based on the recognition that much of what USAID does in the DG sector is ill-suited to purely quantitative measurements.

The DG Office Democracy Fellows Program continues to provide opportunities for USAID to access new academic and practitioner resources while offering DG fellows hands-on development experience. Fellows are supported in Cambodia, Indonesia, Kenya, and Russia, and the U.S. Courts' Committee on International Relations, as well as in the DG Office. Three fellows completed their terms in 2002 while four new fellowships were begun; 11 fellows were participating in the program as of the end of FY 2002.

The DG Office held its annual partners conference in December 2002, which was attended by approximately 300 people representing various USAID/Washington operating units and field missions, other USG agencies, implementing partner organizations, other donors, academia, and think tanks. The conference opened with a discussion of U.S. foreign policy priorities for democracy assistance with presentations by Roger Winter, assistant administrator, DCHA Bureau; and Lorne Craner, assistant secretary of state for democracy, human rights, and labor. A session on evaluating democracy assistance followed, with the DG Office presenting its research agenda and seeking participant feedback. The conference addressed the issues of fragile, failed, and failing states, and promoting pluralism, democracy, and good governance in Islamic societies.

In December 2002, the DG Office also organized an advanced DG officers workshop, designed to meet the technical and management needs of the DG cadre. The workshop was attended by 75 DG officers from missions in all regions and from a variety of Washington operating units. It provided a valuable opportunity for DG officers to gather together to share experiences and new theoretical and practical tools. This workshop complemented a five-day June workshop, held earlier in 2002 on a comprehensive array of introductory DG topics. Some 50 DG officers, mostly from field missions, attended this latest addition to the DG Office's training program.

Adding to and increasing dissemination of the DG Office's technical guidance continued this fiscal year. The DG Office published "Approaches to Civic Education: Lessons Learned" and "Achievements in Building and Maintaining the Rule of Law." It utilized its web presences on three sites to increase distribution of this and other program information. DG Office websites continue to draw a large number of visitors. The sites average over 300 visits per day and resulted in more than 35,000 downloads of our publications in FY 2002. The anti-corruption section of the external site is an especially strong draw, averaging over 60 visitors per month.

Environmental Compliance: Pursuant to 22 CFR 216, initial environmental evaluations (IEEs) for all four continuing strategic objectives were carried out in FY 2002. In each case, a categorical exemption was approved. An IEE for the new special objective (932-006) will be conducted in FY 2003.

Country Closeout & Graduation:

D. Results Framework

932-001 Legal systems operate more effectively to embody democratic principles and protect human rights

SO Level Indicator:

SO Level Indicator: 1.1 Countries implementing legal systems reform programs.

SO Level Indicator: 1.2 Countries implementing court administration programs.

SO Level Indicator: 1.3 Countries introducing mechanisms to expand access of women and poor and other marginalized populations to legal systems.

SO Level Indicator: 932

1.1 Technical leadership in the subject area

- 1.2 Timely and relevant field support to USAID missions
- 1.3 Non-presence country and global activities

Discussion:

932-002 Political processes, including elections, are competitive and more effectively reflect the will of an informed citizenry

SO Level Indicator: 2.1 Countries with fully codified electoral laws and regulations that conform with international standards.

SO Level Indicator: 2.2 Countries with independent electoral commissions operating effectively.

SO Level Indicator: 2.3 Countries reporting effective oversight of elections through domestic and/or international monitoring and independent media coverage.

SO Level Indicator: 2.4 Countries meeting targeted increases in citizen participation in elections through voter education and mobilization efforts.

SO Level Indicator: 2.5 Countries with political parties organized to represent a broad constituency through internal democratic processes.

SO Level Indicator: 2.6 Countries meeting targeted increases in political participation by women and disadvantaged groups.

SO Level Indicator: 2.7 Countries in which political power is peacefully transferred following elections through established transition processes.

- 1.1 Technical leadership in the subject area
- 1.2 Timely and relevant field support to USAID Missions.
- 1.3 Non-presence country and global activities

Discussion:

932-003 Informed citizens' groups effectively contribute to more responsive government

SO Level Indicator: 3.1 A legal framework to protect and promote civil society ensured.

SO Level Indicator: 3.2 Increased citizen participation in the policy process and oversight of public institutions.

SO Level Indicator: 3.3 Increased institutional and financial viability of CSOs.

SO Level Indicator: 3.4 Enhanced free flow of information.

SO Level Indicator: 3.5 Strengthened democratic political culture.

- 1.1 Technical leadership in the subject area
- 1.2 Timely and relevant field support to USAID missions
- 1.3 Non-presence country and global activities.

Discussion:

932-004 National and local government institutions more openly and effectively perform public responsibilities

SO Level Indicator: 4.1 Governments articulate and sponsor anti-corruption measures.

SO Level Indicator: 4.2 Local-level governments improve democratic processes.

SO Level Indicator: 4.3 Legislative bodies improve their effectiveness and accountability.

SO Level Indicator: 4.4 Countries progress toward effective civilian control over the national military.

SO Level Indicator: 4.5 Countries effectively manage policy implementation.

- 1.1 Technical leadership in the subject area
- 1.2 Timely and relevant field support to USAID missions
- 1.3 Non-presence country and global activities

Discussion:

932-006 Improved social, economic, and/or developmental status of targeted vulnerable populations.

SO Level Indicator: 6.1 Improved physical, mental, and legal status of torture survivors, families and their communities.

SO Level Indicator: 6.2 Improved ability of torture survivors, families and their communities to function in their respective societies.

SO Level Indicator: 6.4 Increase in knowledge and dissemination of findings related to long-term improvement in function.

SO Level Indicator: 932

1 Improved functioning of victims of torture, their families and communities resulting from culturally appropriate, holistic and community-based treatment efforts.

Discussion: This special objective was established for the congressionally mandated Leahy War Victims fund, the Displaced Children and Orphans fund and the Victims of Torture fund

Selected Performance Measures - Office of Democracy and Governance

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Indicator (all data should pertain to FY or CY 02)	OU Response	Significant Result: Description of the significant result for a strategic objective	Data Quality Factors: Information relevant to the collection of this indicator data, e.g. "this data was not collected last year because it is only collected every five years."
Pillar I: Global Development Alliance			
Did your operating unit achieve a significant result working in alliance with the private sector or NGOs?			
a. How many alliances did you implement in 2002? (list partners)			
b. How many alliances do you plan to implement in FY 2003?			
What amount of funds has been leveraged by the alliances in relationship to USAID's contribution?			
Pillar II: Economic Growth, Agriculture and Trade			
USAID Objective 1: Critical, private markets expanded and strengthened			
Did your program achieve a significant result in the past year that is likely to contribute to this objective?			
USAID Objective 2: More rapid and enhanced agricultural development and food security encouraged			
Did your program achieve a significant result in the past year that is likely to contribute to this objective?			
USAID Objective 3: Access to economic opportunity for the rural and urban poor expanded and made more equitable			
Did your program achieve a significant result in the past year that is likely to contribute to this objective?			
USAID Objective 4: Access to quality basic education for under-served populations, especially for girls and women, expanded			
Did your program achieve a significant result in the past year that is likely to contribute to this objective?			
a. Number of children enrolled in primary schools affected by USAID basic education programs (2002 actual)	Male	Female	Total
b. Number of children enrolled in primary schools affected by USAID basic education programs (2003 target)	Male	Female	Total
USAID Objective 5: World's environment protected by emphasizing policies and practices ensuring environmentally sound and efficient energy use, sustainable urbanization,			
Did your program achieve a significant result in the past year that is likely to contribute to this objective?			
a. Hectares under Approved Management Plans (2002 actual)			
b. Hectares under Approved Management Plans (2003 target)			
Pillar III: Global Health			
USAID Objective 1: Reducing the number of unintended pregnancies			
Did your program achieve a significant result in the past year that is likely to contribute to this objective?			
Percentage of in-union women age 15-49 using, or whose partner is using, a modern method of contraception at the time of the survey. (DHS/RHS)	%		
USAID Objective 2: Reducing infant and child mortality			

Did your program achieve a significant result in the past year that is likely to contribute to this objective?

Percentage of children age 12 months or less who have received their third dose of DPT (DHS/RHS)	Male	Female	Total	
Percentage of children age 6-59 months who had a case of diarrhea in the last two weeks and received ORT (DHS/RHS)	Male	Female	Total	
Percentage of children age 6-59 months receiving a vitamin A supplement during the last six months (DHS/RHS)	Male	Female	Total	
Were there any confirmed cases of wild-strain polio transmission in your country?				

USAID Objective 3: Reducing deaths and adverse health outcomes to women as a result of pregnancy and childbirth

Did your program achieve a significant result in the past year that is likely to contribute to this objective?

Percentage of births attended by medically-trained personnel (DHS/RHS)	%			
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USAID Objective 4: Reducing the HIV transmission rate and the impact of HIV/AIDS pandemic in developing countries

Did your program achieve a significant result in the past year that is likely to contribute to this objective?

a. Total condom sales (2002 actual)				
b. Total condom sales (2003 target)				
National HIV Seroprevalence Rates reported annually (Source: National Sentinel Surveillance System)	%			
Number of sex partners in past year (Source: national survey/conducted every 3-5 years)per DHS or other survey)				
Median age at first sex among young men and women (age of sexual debut) ages 15 - 24 (Source: national survey/conducted every 3-5 years) per DHS or other survey)	Male	Female	Total	
Condom use with last non-regular partner (Source: national survey/conducted every 3-5 years)per DHS or other survey)	%			
Number of Clients provided services at STI clinics				
Number of STI clinics with USAID assistance				
Number of orphans and other vulnerable children receiving care/support				
Number of Orphans and Vulnerable Children programs with USAID assistance				

Number of community initiatives or community organizations receiving support to care for orphans and other vulnerable children				
Number of USAID-supported health facilities offering PMTCT services				
Number of women who attended PMTCT sites for a new pregnancy in the past 12 months				
Number of women with known HIV infection among those seen at PMTCT sites within the past year.				
Number of HIV-positive women attending antenatal clinics receiving a complete course of ARV therapy to prevent MTCT (UNGASS National Programme & Behavior Indicator #4)				
Number of individuals reached by community and home-based care programs in the past 12 months				
Number of USAID-assisted community and home-based care programs				
Number of clients seen at Voluntary Counseling and Testing (VCT) centers				
Number of VCT centers with USAID assistance				
Number of HIV-infected persons receiving Anti-Retroviral (ARV) treatment				
Number of USAID-assisted ARV treatment program				
a. Number of individuals treated in STI programs (2002 actual)	Male	Female	Total	
b. Number of individuals treated in STI programs (2003 target)	Male	Female	Total	
a. Is your operating unit supporting an MTCT program?				
b. Will your operating unit start an MTCT program in 2003?				
a. Number of individuals reached by community and home based care programs (2002 actual)	Male	Female	Total	
b. Number of individuals reached by community and home based care programs (2003 target)	Male	Female	Total	
a. Number of orphans and vulnerable children reached (2002 actual)	Male	Female	Total	
b. Number of orphans and vulnerable children reached (2003 target)	Male	Female	Total	

a. Number of individuals reached by antiretroviral (ARV) treatment programs (2002 actual)	Male	Female	Total	
b. Number of individuals reached by antiretroviral (ARV) treatment programs (2003 target)	Male	Female	Total	

USAID Objective 5: Reducing the threat of infectious diseases of major public health importance

Did your program achieve a significant result in the past year that is likely to contribute to this objective?

a. Number of insecticide impregnated bed-nets sold (Malaria) (2002 actual)				
b. Number of insecticide impregnated bed-nets sold (Malaria) (2003 target)				
a. Proportion of districts implementing the DOTS Tuberculosis strategy (2002 actual)	%			
b. Proportion of districts implementing the DOTS Tuberculosis strategy (2003 target)	%			

Pillar III: Democracy, Conflict and Humanitarian Assistance

USAID Objective 1: Strengthen the rule of law and respect for human rights

Did your program achieve a significant result in the past year that is likely to contribute to this objective?

932-001 Legal systems operate more effectively to embody democratic principles and protect human rights	Yes		<p>In 2002, DCHA/DG maintained a technical leadership role in the rule-of-law (ROL) field through the publication in November of a comprehensive study entitled "Achievements in Building and Maintaining the Rule of Law," which measures the impact of ROL programs in 34 countries around the world. The office also disseminated "Guidance for Promoting Judicial Independence and Impartiality," based on research in 26 countries. In addition, DCHA/DG provided support to field missions, including support in foreign-policy-priority countries, such as Afghanistan, where DCHA/DG worked closely with the mission to design a ROL program. DCHA/DG staff on TDYs also provided justice-sector assistance in Armenia, India, and the Middle East. Finally, DCHA/DG provided ROL support in non-presence countries, such as Swaziland.</p>	<p>This data reflects DCHA/DG's tracking of: its role in providing technical guidance and leadership; DCHA/DG's provision of field support to missions, including TDY assistance; missions' use of DG-office procurement mechanisms; and the impact of DCHA/DG assistance at the country level.</p>
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USAID Objective 2: Encourage credible and competitive political processes

Did your program achieve a significant result in the past year that is likely to contribute to this objective?

932-002 Political processes, including elections, are competitive and more effectively reflect the will of an informed citizenry	Yes		<p>In FY 2002, DCHA/DG's cooperative agreements and contracts for election support rapidly responded to needs in more than 34 countries. DCHA/DG pre-positioned funds also enabled missions to provide critically needed technical assistance to enhance the integrity of elections in Ecuador, Pakistan, and Sierra Leone during the year. DCHA/DG staff also provided in-country technical support to Bolivia, Colombia, and Mexico to develop political party assistance programs, and Burundi received assistance related to preparing for upcoming elections. In addition, DCHA/DG provided election- and political-processes support in nine non-presence countries during FY 2002.</p>	<p>This data reflects DCHA/DG's tracking of: its role in providing technical guidance and leadership; DCHA/DG's provision of field support to missions, including TDY assistance; missions' use of DG-office procurement mechanisms; and the impact of DCHA/DG assistance at the country level.</p>
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USAID Objective 3: Promote the development of politically active civil society

Did your program achieve a significant result in the past year that is likely to contribute to this objective?

932-003 Informed citizens' groups effectively contribute to more responsive government	Yes		<p>In FY 2002, DCHA/DG supported the work of missions and others in their efforts to expand opportunities for civil society to have its voice heard. To this end, DCHA/DG staff provided technical leadership and support to: improve the legal and regulatory environment for NGOs, labor, and the media; build institutional capacity; develop advocacy techniques; and promote the strengthening of democratic political culture through civic education. During the year, DCHA/DG provided civil society-related technical assistance to a number of regions and countries, including Central America, Croatia, Egypt, Ethiopia, Ghana, Kosovo, Liberia, Pakistan, Peru, Russia, and Sri Lanka.</p>	<p>This data reflects DCHA/DG's tracking of: its role in providing technical guidance and leadership; DCHA/DG's provision of field support to missions, including TDY assistance; missions' use of DG-office procurement mechanisms; and the impact of DCHA/DG assistance at the country level.</p>
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USAID Objective 4: Encourage more transparent and accountable government institutions

Did your program achieve a significant result in the past year that is likely to contribute to this objective?

932-004 National and local government institutions more openly and effectively perform public responsibilities	Yes		<p>In FY 2002, DCHA/DG provided technical assistance to missions' programs through its IQCs in anti-corruption, decentralization and democratic local government, deliberative bodies (legislative strengthening), and strategic planning and institutional reform. In addition, DCHA/DG supported Transparency International (TI), a leading international anti-corruption watchdog NGO, with more than 80 national chapters around the world. Through its cooperative agreement with the National Democratic Institute for International Affairs (NDI), DCHA/DG also assisted countries interested in fostering civil military relations in a democratic setting. DCHA/DG also led agency efforts to provide policy and programmatic leadership in the areas of anti-corruption and good governance.</p> <p>This data reflects DCHA/DG's tracking of: its role in providing technical guidance and leadership; DCHA/DG's provision of field support to missions, including TDY assistance; missions' use of DG-office procurement mechanisms; and the impact of DCHA/DG assistance at the country level.</p>
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USAID Objective 5: Mitigate conflict

Did your program in a pre-conflict situation achieve a significant result in the past year that is likely to contribute to this objective?
 Did your program in a post-conflict situation achieve a significant result in the past year that is likely to contribute to this objective?

Number of refugees and internally displaced persons assisted by USAID	Male	Female	Total	
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USAID Objective 6: Provide humanitarian relief

Did your program achieve a significant result in the past year that is likely to contribute to this objective?

Number of beneficiaries				
Crude mortality rates	%			
Child malnutrition rates	%			
Did you provide support to torture survivors this year, even as part of a larger effort?				
Number of beneficiaries (adults age 15 and over)	Male	Female	Total	
Number of beneficiaries (children under age 15)	Male	Female	Total	